CUSTOMER NO. 00909

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Application Serial No.: 09/877,926
Attorney Docket No.: 019213-0311368
</div>

LISTING OF CLAIMS:

This listing of claims will replace all prior versions and listings of claims in the Application.

What is claimed is:

1.   (Currently Amended) A <u>computer implemented</u> method for enabling a <u>financial services</u> client and one or more <u>financial service provider</u> participants to collaborate as a team comprising the steps of:

a)   enabling a ~~client to define~~ a collaboration team comprising one or more participants <u>to be defined</u>;

b)   providing a common <u>electronic</u> forum containing client data wherein client data is accessible by one or more <u>financial server provider</u> participants wherein each participant i<u>s has predefined authorizations</u> ~~authorized a scope of access by the client~~; and

c)   enabling the <u>financial services</u> client to interact with one or more <u>financial service provider</u> participants through the common <u>electronic</u> forum wherein the common <u>electronic</u> forum further enables interaction among the one or more participants through the common forum where client data is accessible within the scope of access authorized to each participant.

2.   (Original) The method of claim 1 wherein participants comprise advisors.

3.   (Original) The method of claim 1 wherein the common forum provides download capability of client data.

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4.   (Original)   The method of claim 1 wherein the common forum provides modification information associated with client data wherein modification information comprises one or more actions associated with one or more participants.

5.   (Original) The method of claim 1 further comprising the step of d) enabling the client to view information associated with the one or more participants collaborating for the client wherein information comprises one or more of participant identification, historical information, scope of access and activity information for each participant.

6.   (Original) The method of claim 1 further comprising the step of e) enabling the client to access a calendar function for collaborating events with one or more participants associated with the client.

7.   (Original) The method of claim 1 further comprising the step of f) enabling the client to view aggregated client data from one or more sources.

8.   (Original) The method of claim 1 further comprising the step of g) enabling the client to access a library of resources.

9.   (Original) The method of claim 1 wherein client data comprises financial documents.

10.   (Original) The method of claim 1 wherein participants comprise financial advisors associated with the client.

11.   (Original) The method of claim 1 further comprising a step of h) enabling the client to define one or more triggering events and one or more alert mechanisms for notifying the client of the occurrence of the one or more triggering events.

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12.   (Original) The method of claim 1 further comprising a step of i) enabling the client to access a client history database wherein the client history database maintains information related to previous actions.

13.   (Original) The method of claim 1 wherein client access comprises one or more of read only; read and write; read, write and delete; and no access.

14.   (Original) The method of claim 1 further comprising a step of j) enabling the client to add a new participant.

15.   (Currently Amended) A <u>computer-implemented</u> method for enabling a <u>financial services</u> client and one or more <u>financial service provider</u> participants to collaborate as a team comprising the steps of:

a)   enabling one or more participants to be part of a collaboration team defined by a client;

b)   enabling the one or more participants to access a common <u>electronic</u> forum containing client data wherein client data is accessible by one or more <u>financial service provider</u> participants wherein each participant <u>has predefined authorizations</u> ~~is authorized a scope of access by the client~~;

c)   enabling the one or more <u>financial service provider</u> participants to interact with the <u>financial services</u> client through the common <u>electronic</u> forum; and

d)   enabling the one or more <u>financial service provider</u> participants to interact with each other through the common <u>electronic</u> forum where client data is accessible within the scope of access authorized to each participant.

16.   (Original) The method of claim 15 wherein participants comprise advisors.

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17. (Original) The method of claim 15 wherein the common forum provides download capability of client data.

18. (Original) The method of claim 15 wherein the common forum provides modification information associated with client data wherein modification information comprises one or more actions associated with one or more participants.

19. (Original) The method of claim 15 further comprising the step of d) enabling the one or more participants to view information associated with the client for whom the one or more participants are collaborating.

20. (Original) The method of claim 15 further comprising the step of e) enabling the one or more participants to access a calendar function for collaborating events with other participants associated with the client and the client.

21. (Original) The method of claim 15 further comprising the step of f) enabling the one or more participants to formulate a financial plan for the client based on aggregated client data from one or more sources.

22. (Original) The method of claim 15 further comprising the step of g) enabling the one or more participants access a library of resources wherein information gathered from the library of resources are imported into the common forum for the client.

23. (Original) The method of claim 15 wherein client data comprises financial documents.

24. (Original) The method of claim 15 wherein participants comprise financial advisors associated with the client.

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25. (Original) The method of claim 15 further comprising a step of h) enabling the one or more participants to define one or more triggering events and one or more alert mechanisms for notifying the one or more participants of the occurrence of the one or more triggering events.

26. (Original) The method of claim 15 further comprising a step of i) enabling the one or more participants access to a client history database wherein the client history database maintains information related to previous actions.

27. (Original) The method of claim 15 further comprising a step of j) enabling the one or more participants to add a new client.

28. (Currently Amended) A computer implemented system for enabling a financial services client and one or more financial service provider participants to collaborate as a team comprising:

d) a definition means for enabling a client to define a collaboration team comprising one or more participants;

e) a common electronic forum containing client data wherein client data is accessible by one or more participants wherein each participant is authorized a scope of access by the client; and

f) an interaction means for enabling the client to interact with one or more participants through the common forum wherein the common forum further enables interaction among the one or more participants through the common forum where client data is accessible within the scope of access authorized to each participant.

29. (Original) The system of claim 28 wherein participants comprise advisors.

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30.   (Original) The system of claim 28 wherein the common forum provides download capability of client data.

31.   (Original) The system of claim 28 wherein the common forum provides modification information associated with client data wherein modification information comprises one or more actions associated with one or more participants.

32.   (Original) The system of claim 28 further comprising d) a display means for enabling the client to view information associated with the one or more participants collaborating for the client wherein information comprises one or more of participant identification, historical information, scope of access and activity information for each participant.

33.   (Original) The system of claim 28 further comprising e) a calendar function for collaborating events with one or more participants associated with the client.

34.   (Original) The system of claim 28 further comprising f) a display means for enabling the client to view aggregated client data from one or more sources.

35.   (Original) The system of claim 28 further comprising g) a resource means for enabling the client to access a library of resources.

36.   (Original) The system of claim 28 wherein client data comprises financial documents.

37.   (Original) The system of claim 28 wherein participants comprise financial advisors associated with the client.

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38.   (Original) The system of claim 28 further comprising h) an alert means for enabling the client to define one or more triggering events and one or more alert mechanisms for notifying the client of the occurrence of the one or more triggering events.

39.   (Original) The system of claim 28 further comprising i) a client history database for maintaining information related to previous actions.

40.   (Original) The system of claim 28 wherein client access comprises one or more of read only; read and write; read, write and delete; and no access.

41.   (Original) The system of claim 28 further comprising j) an add means for enabling the client to add a new participant.

42.   (Currently Amended) A computer implemented system for enabling a financial services client and one or more financial service provider participants to collaborate as a team comprising:

e)   a definition means for enabling the one or more participants to be part of a collaboration team defined by a client;

f)   a common electronic forum containing client data wherein client data is accessible by one or more participants wherein each participant is authorized a scope of access by the client;

g)   an interaction means for enabling the one or more participants to interact with the client through the common electronic forum; and

h)   a collaboration means for enabling the one or more participants to interact with each other through the common electronic forum where client data is accessible within the scope of access authorized to each participant.

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43.   (Original) The system of claim 42 wherein participants comprise advisors.

44.   (Original) The system of claim 42 wherein the common forum provides download capability of client data.

45.   (Original) The system of claim 42 wherein the common forum provides modification information associated with client data wherein modification information comprises one or more actions associated with one or more participants.

46.   (Original) The system of claim 42 further comprising d) a display means for enabling the one or more participants to view information associated with the client for whom the one or more participants are collaborating.

47.   (Original) The system of claim 42 further comprising e) a calendar function for collaborating events with other participants associated with the client and the client.

48.   (Original) The system of claim 42 further comprising f) a planning means for enabling the one or more participants to formulate a financial plan for the client based on aggregated client data from one or more sources.

49.   (Original) The system of claim 42 further comprising g) a resource means for enabling the one or more participants access a library of resources wherein information gathered from the library of resources are imported into the common forum for the client.

50.   (Original) The system of claim 42 wherein client data comprises financial documents.

51.   (Original) The system of claim 42 wherein participants comprise financial advisors associated with the client.

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52.   (Original) The system of claim 42 further comprising h) an alert means for enabling the one or more participants to define one or more triggering events and one or more alert mechanisms for notifying the one or more participants of the occurrence of the one or more triggering events.

53.   (Original) The system of claim 42 further comprising i) a client history database for maintaining information related to previous actions.

54.   (Original) The system of claim 42 further comprising j) an add means for enabling the one or more participants to add a new client.

55.   (Original) The method of claim 1, wherein the client data contained in the common forum is stored in an encrypted format.

56.   (Original) The method of claim 1, further comprising the step of providing a means to transmit the client data to the common forum in an encrypted format.

57.   (Previously Presented)   A computer-implemented method for enabling a client of more than one financial services advisor and one or more financial services advisor participants to collaborate as a team comprising the steps of:

enabling a client of more than one financial services advisor to define a financial services advisory collaboration team comprising one or more financial services advisor participants; and

providing a common online forum for storing and selectively sharing personal and financial information about the client and financial documents associated with the client, the online forum further comprising:

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a client module that enables the client to access data associated with the client and

define data level access control for one or more financial services advisors;

an advisor module that enables one or more financial services advisors to select a

client for which the client has previously granted the financial services advisor access to

that clients data, and to select an activity related to the selected client;

a client history database that stores data related to the client and records activity

associated with the client; and

a collaboration module that enables a client and one or more authorized financial

services advisors to communicate through the online forum.

58.   (Previously Presented)   The computer implemented method of claim 57

wherein the client module further comprises:

an action request module that enables a client to request one or more financial services

advisors to update one or more of the client's files; and

a program alert module that enables the client to define personalized alerts in response to

triggering events defined by the client.

59.   (Previously Presented)   The computer implemented method of claim 57

wherein the collaboration module further comprises:

a document view module that enables a client and one or more authorized financial

services advisors to view and edit one or more documents related to the client that are stored in a

central repository;

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an update module that enables the client and one or more financial services advisors to

view a summary of modifications performed relative to one or more documents; and

a chat board that enables the client and one or more financial services advisors to

engage in a real time online conference.

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